

# Race to the Top – Early Learning Challenge (RTT-ELC)

## NIA and Application Overview

Presentation to States

U.S. Departments of Education and  
Health and Human Services

September 1, 2011



# Session Outcomes

Applicants better understand:

- What States must write to and where there is flexibility
- The basic structure/mechanics of the Application
- Reviewer guidelines for scoring Applications
- How to submit your Application

What we are NOT covering today, but will address in the September 13<sup>th</sup> TA session:

- The content of the notice – that is, the details of the priorities and the selection criteria.



# Agenda

- Overview of RTT-ELC and Timelines
- Overview of the Notice Inviting Applications
- How the Pieces Fit Together: Priorities, Selection Criteria, Evidence, Performance Measures, and the Scoring Rubric
  - Core Areas
  - Focused Investment Areas
- Planning Considerations
- Submitting an Application
- Resources and Assistance

# Today's Presenters

- Jacqueline Jones, *Senior Advisor on Early Learning to the Secretary, Office of the Secretary, ED*
- Joan Lombardi, *Deputy Assistant Secretary and Inter-Departmental Liaison for Early Childhood Development, ACF, HHS*
- Beth Caron, *Implementation and Support Unit, ED*
- Richard Gonzales, *Office of the Deputy Assistant Secretary, ACF, HHS*
- Ngozi Onunaku, *Office of the Deputy Assistant Secretary, ACF, HHS*
- Jennifer Tschantz, *Office of the Secretary, ED*

Supporting the webinar presenters—

- Jane Hess, Rachel Peternith, and Daphna Krim, *Office of the General Counsel, ED*
- Joanne Weiss, *Chief of Staff, ED*
- Miriam Calderon, *Office of the Deputy Assistant Secretary, ACF, HHS*
- Steven Hicks, *Office of the Secretary, ED*
- Shannon Rudisill, *Director, Office of Child Care, ACF, HHS*

# About RTT-ELC

- A \$500 M competitive grant program to support States that commit to improving the quality of their early learning and development programs through five key levers of change:
  - Successful State Systems
  - High-Quality, Accountable Programs
  - Promoting Early Learning and Development Outcomes for Children
  - A Great Early Childhood Education Workforce, and
  - Measuring Outcomes and Progress
- With an overarching goal of:
  - *Ensuring children enter kindergarten ready to succeed* by
  - Increasing access to high-quality programs for Children with High Needs



# Public Input

- Clarified and strengthened competition based on nearly 350 comments to the draft criteria
- Kept the same critical components of high-quality but reorganized competition to focus on five key areas of reform
- Changed the NIA to allow for flexibility in scope based on each State's progress to date

# Competition Timeline

August 23, 2011	Notice Inviting Applications (NIA), Application, and Executive Summary posted on Website
August 26, 2011	NIA published in the Federal Register
September 1, 2011	Overview Webinar
September 13, 2011	TA Workshop for Applicants
October 19, 2011	Applications due
December 2011	Winners announced

# Outreach and Technical Assistance

- Webinar for States (Sept. 1)
  - Orientation about how to make sense of the notice and application
  - Q&A
- Technical Assistance Workshop (Sept 13)
  - Detailed walk-through of RTT-ELC priorities and selection criteria
  - In person in Washington DC and simulcast in 12 regions throughout the U.S. via video-conference (VTC)
- FAQs published online on the RTT-ELC Web site
- Questions may be emailed to: [rtt.early.learning.challenge@ed.gov](mailto:rtt.early.learning.challenge@ed.gov)
- RTT-ELC Web site:  
<http://www2.ed.gov/programs/racetothetop-earlylearningchallenge>
- Others, as needed – let us know



# Overview of the Notice

## *States must meet:*

### **Application Requirements, e.g.:**

- Signatures of Governor, Lead Agency, and Participating State Agencies (PSA)
- Certification from State's attorney general
- Budget spreadsheets
- Focused Investment Area requirements
- High-Quality Plan requirements

### **Program Requirements:**

- Continued participation in specific programs
- Technical Assistance and Evaluation
- Make work available
- Final scopes of work

### **Eligibility Requirements:**

- MOUs with each PSA
- Operational State Advisory Council
- Submitted MIECHV FY10 plan and FY11 application for formula funding

## *Applications will be scored based on:*

### **Priorities:**

- Absolute: Promoting School Readiness for Children with High Needs
- Competitive: Including all programs in the Tiered Quality Rating and Improvement System
- Competitive: Kindergarten Entry Assessment
- Invitational\*: Sustaining program effects in early elementary
- Invitational\*: Encouraging private-sector support

### **Selection Criteria – Core Areas:**

- (A) Successful State Systems
- (B) High-Quality, Accountable Programs

### **Selection Criteria – Focused Investment Areas:**

- (C) Promoting Early Learning and Development Outcomes for Children
- (D) A Great Early Learning Workforce
- (E) Measuring Outcomes and Progress

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basic information about what must be in the application

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requirements for all RTT-ELC  
grantees

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### **Selection Criteria – Focused Investment Areas:**

- (C) Improving Early Learning and Development Outcomes for Children
- (D) A Great Early Learning Workforce
- (E) Measuring Outcomes and Progress

Must meet in order to be eligible

# Overview of the Notice

## *States must meet:*

### **Application Requirements, e.g.:**

- Signatures of Governor, Lead Agency, and Participating State Agencies (PSAs)
- Certification **Must address in application**
- Budget spread
- Focused Investment Area requirements
- High-Quality Plan requirements

### **Program Requirements:**

- Continued participation in specific programs
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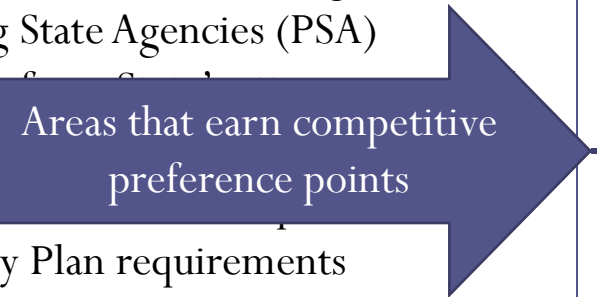
# Overview of the Notice

## *States must meet:*

### **Application Requirements, e.g.:**

- Signatures of Governor, Lead Agency, and Participating State Agencies (PSA)
- Certification of Financial Management
- Budget spreadsheet
- Focused Investment Plan
- High-Quality Plan requirements

Areas that earn competitive preference points



### **Program Requirements:**

- Continued participation in specific programs
- Technical Assistance and Evaluation
- Make work available
- Final scopes of work

### **Eligibility Requirements:**

- MOUs with each PSA
- Operational State Advisory Council
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### **Selection Criteria – Focused Investment Areas:**

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- (D) A Great Early Learning Workforce
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# Overview of the Notice

## *States must meet:*

### **Application Requirements, e.g.:**

- Signatures of Governor, Lead Agency, and Participating State Agencies (PSA)
- Certification from State's attorney general
- Budget spreadsheets
- Focused Investment Area requirements
- High-Quality Programs

Areas of interest that extend the core work –

### **Program Requirements**

- Continued participation in specific programs
- Technical Assistance and Evaluation
- Make work available
- Final scopes of work

### **Eligibility Requirements:**

- MOUs with each PSA
- Operational State Advisory Council
- Submitted MIECHV FY10 plan and FY11 application for formula funding

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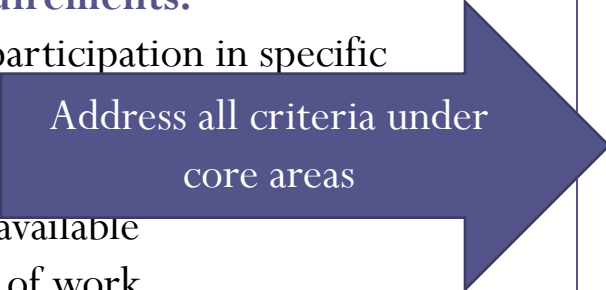
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### **Application Requirements, e.g.:**

- Signatures of Governor, Lead Agency, and Participating State Agencies (PSA)
- Certification from State's attorney general
- Budget spreadsheets
- Focused Investment Area requirements
- High-Quality Plan requirements

### **Program Requirements:**

- Continued participation in specific programs
- Technical Assistance
- Make work available
- Final scopes of work



Address all criteria under core areas

### **Eligibility Requirements:**

- MOUs with each PSA
- Operational State Advisory Council
- Submitted MIECHV FY10 plan and FY11 application for formula funding

## *Applications will be scored based on:*

### **Priorities:**

- Absolute: Promoting School Readiness for Children with High Needs
- Competitive: Including all programs in the Tiered Quality Rating and Improvement System
- Competitive: Kindergarten Entry Assessment
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### **Selection Criteria – Core Areas:**

- (A) Successful State Systems
- (B) High-Quality, Accountable Programs

### **Selection Criteria – Focused Investment Areas:**

- (C) Promoting Early Learning and Development Outcomes for Children
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- Focused Investment Area requirements
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### **Program Requirements:**

- Continued participation in specific programs
- Technical Assistance and Evaluation
- Make work available
- Final scopes of work

### **Eligibility Requirements**

- MOUs with  Choose criteria to address under each Focused Investment Area
- Operational State Advisory Council
- Submitted MIECHV FY10 plan and FY11 application for formula funding

## *Applications will be scored based on:*

### **Priorities:**

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# Selection Criteria

- Core Areas - *States must address all of the selection criteria in the Core Areas*
  - (A) Successful State Systems
  - (B) High-Quality, Accountable Programs
- Focused Investment Areas — *States must address:*
  - Two or more selection criteria under (C) Promoting Early Learning and Development Outcomes*
  - One or more selection criteria under (D) A Great Early Learning Workforce; and*
  - One or more selection criteria under (E) Measuring Outcomes and Progress*



## A. Successful State Systems

- (A)(1) Demonstrating past commitment to early learning and development.
- (A)(2) Articulating the State's rationale for its early learning and development reform agenda and goals.
- (A)(3) Aligning and coordinating early learning and development across the State.
- (A)(4) Developing a budget to implement and sustain the work of this grant.

## B. High-Quality, Accountable Programs

- (B)(1) Developing and adopting a common, statewide Tiered Quality Rating and Improvement System.
- (B)(2) Promoting Participation in the State's Tiered Quality Rating and Improvement System.
- (B)(3) Rating and monitoring Early Learning and Development Programs.
- (B)(4) Promoting access to high-quality Early Learning and Development Programs for Children with High Needs.
- (B)(5) Validating the effectiveness of State Tiered Quality Rating and Improvement Systems.

## C. Promoting Early Learning and Development Outcomes for Children

*States must address at least two of the following selection criteria:*

- (C)(1) Developing and using statewide, high-quality Early Learning and Development Standards.
- (C)(2) Supporting effective uses of Comprehensive Assessment Systems.
- (C)(3) Identifying and addressing the health, behavioral, and developmental needs of Children with High Needs to improve school readiness.
- (C)(4) Engaging and supporting families.



## D. A Great Early Childhood Education Workforce

*States must address at least one of the following selection criteria:*

- (D)(1) Developing a Workforce Knowledge and Competency Framework and a progression of credentials.
- (D)(2) Supporting Early Childhood Educators in improving their knowledge, skills, and abilities.



## E. Measuring Outcomes and Progress

*States must address at least one of the following selection criteria:*

- (E)(1) Understanding the status of children's learning and development at kindergarten entry.
- (E)(2) Building or enhancing an early learning data system to improve instruction, practices, services, and policies.





# Defined Terms

Defined Terms are found throughout the NIA and Application and are indicated by capitalization. Frequently used defined terms include:

- Children with High Needs
- Early Childhood Educator
- Early Learning and Development Program
- High-Quality Plan
- State Plan
- Lead Agency
- Participating State Agency

# Additional Information

- Scoring Rubric and Points (Appendix B in NIA; Section XIV in Application)
- Budget
  - Budget Requirements (in NIA)
  - Budget Requirements and Budget Instructions in Section VIII (in Application)
- Competition Review and Selection Process (in the NIA)
- Participating State Agency model Memorandum of Understanding (MOU) (in Appendix C of the NIA; Section XIII of Application)

# How the Pieces Fit Together

## The Parts to Respond to...

**For each criterion, there are up to three parts**

- **Narrative:** For each criterion the State addresses, the State writes its narrative response in the space provided. Describe how the State has addressed or will address that criterion.
- **Evidence:** Some selection criteria require specific information requested as supporting evidence. States may also include any additional information the State believes will be helpful to peer reviewers in judging the State's plan.
- **Performance Measures:** For several selection criteria, the State is asked to provide goals and annual targets, baseline data, and other information.

## Example 1: No specific evidence or performance measure

### (B)(3) Rating and monitoring Early Learning and Development Programs (15 points)

criterion

The extent to which the State and its Participating State Agencies have developed and implemented, or have a High-Quality Plan to develop and implement, a system for rating and monitoring the quality of Early Learning and Development Programs participating in the Tiered Quality Rating and Improvement System by--

- (a) Using a valid and reliable tool for monitoring such programs, having trained monitors whose ratings have an acceptable level of inter-rater reliability, and monitoring and rating the Early Learning and Development Programs with appropriate frequency; and
- (b) Providing quality rating and licensing information to parents with children enrolled in Early Learning and Development Programs (*e.g.*, displaying quality rating information at the program site) and making program quality rating data, information, and licensing history (including any health and safety violations) publicly available in formats that are easy to understand and use for decision making by families selecting Early Learning and Development Programs and families whose children are enrolled in such programs.

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### (B)(3) Rating and monitoring Early Learning and Development Programs (15 points)

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The extent to which the State and its Participating State Agencies have developed and implemented, or have a High-Quality Plan to develop and implement, a system for rating and monitoring the quality of Early Learning and Development Programs participating in the Tiered Quality Rating and Improvement System by--

- (a) Using a valid and reliable system for monitoring such programs, having trained monitors whose ratings have demonstrated inter-rater reliability, and monitoring and rating the Early Learning and Development Programs with appropriate frequency; and
- (b) Providing quality rating information to parents with children enrolled in Early Learning and Development Programs (*e.g.*, displaying quality rating information at the program site) and making program quality rating data, information, and licensing history (including any health and safety violations) publicly available in formats that are easy to understand and use for decision making by families selecting Early Learning and Development Programs and families whose children are enrolled in such programs.

## Example 1: No specific evidence or performance measure (B)(3) Rating and monitoring Early Learning and Development Programs (15 points)

directions

*In the text box below, the State shall write its full response to this selection criterion. The State may also include any additional information it believes will be helpful to peer reviewers. If the State has included relevant attachments in the Appendix, these should be described in the narrative below and clearly cross-referenced to allow the reviewers to locate them easily.*

*In scoring the selection criterion, peer reviewers will determine, based on the evidence the State submits, whether each element of the selection criterion is implemented or planned; the quality of the implementation or plan (see the definition of a High-Quality Plan for the components reviewers will be judging); the extent to which the different types of Early Learning and Development Programs in the State are included and addressed; and the extent to which the unique needs of the State's special populations of Children with High Needs are considered and addressed. The State is responsible for providing clear and detailed information to assist the peer reviewers in making these determinations.*

## Example 1: No specific evidence or performance measure (B)(3) Rating and monitoring Early Learning and Development Programs (15 points)

*(Enter **narrative** here – recommended maximum of five pages)*



narrative

High-Quality Plan means any plan developed by the State to address a selection criterion or priority in the notice that is feasible and has a high probability of successful implementation and at a minimum includes--

- (a) The key goals;
- (b) The key activities to be undertaken; the rationale for the activities; and, if applicable, where in the State the activities will be initially implemented, and where and how they will be scaled up over time to eventually achieve statewide implementation;
- (c) A realistic timeline, including key milestones, for implementing each key activity;
- (d) The party or parties responsible for implementing each activity and other key personnel assigned to each activity;
- (e) Appropriate financial resources to support successful implementation of the plan;
- (f) The information requested as supporting evidence, if any, together with any additional information the State believes will be helpful to peer reviewers in judging the credibility of the plan;
- (g) The information requested in the performance measures, where applicable;
- (h) How the State will address the needs of the different types of Early Learning and Development Programs, if applicable; and
- (i) How the State will meet the needs of Children with High Needs, as well as the unique needs of special populations of Children with High Needs.

## Example 2: Specific Evidence Requested

(A)(1) Demonstrating past commitment to early learning and development (20 points)

Evidence for (A)(1):

evidence

The completed background data tables providing the State's baseline data for--

- The number and percentage of children from Low-Income families in the State, by age (see Table (A)(1)-1);
- The number and percentage of Children with High Needs from special populations in the State (see Table (A)(1)-2); and
- The number of Children with High Needs in the State who are enrolled in Early Learning and Development Programs, by age (see Table (A)(1)-3).
- Data currently available, if any, on the status of children at kindergarten entry (across Essential Domains of School Readiness, if available), including data on the readiness gap between Children with High Needs and their peers.
- Data currently available, if any, on program quality across different types of Early Learning and Development Programs.

Etc . . . .



## Example 2: Specific Evidence Requested

(A)(1) Demonstrating past commitment to early learning and development (20 points)

<b>Table (A)(1)-1: Children from Low-Income families, by age</b>		
	<b>Number of children from Low-Income families in the State</b>	<b>Children from Low-Income families as a percentage of all children in the State</b>
<b>Infants under age 1</b>		
<b>Toddlers ages 1 through 2</b>		
<b>Preschoolers ages 3 to kindergarten entry</b>		
<b>Total number of children, birth to kindergarten entry, from low-income families</b>		
<i>[Enter text here to indicate data source and clarify or explain any of these data if needed]</i>		

## Example 2: Specific Evidence Requested

(A)(1) Demonstrating past commitment to early learning and development (20 points)

Table (A)(1)-1: Children from Low-Income families, by age		
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[Enter text here to indicate data source and clarify or explain any of these data if needed]		

instructions

## Example 2: Specific Evidence Requested:

(A)(1) Demonstrating past commitment to early learning and development (20 points)

*(Enter **narrative** here – recommended maximum of ten pages)*



narrative

# About Performance Measures

- Performance measures include goals and annual targets, baseline data, and other information.
- Where performance measures are required, tables are provided in the application.
- In addition, the State may provide additional performance measures, baseline data, and targets for any criterion it chooses.
- Reviewers will consider, as part of their evaluations of the State's application, the extent to which the State has set ambitious yet achievable annual targets for the performance measures in support of the State's plan.
- To minimize burden, performance measures have been requested only where the Departments intend to report nationally on them and for measures that lend themselves to objective and comparable data gathering.

# Performance Measures Example (D)(2)

Goals: Baseline data and annual targets

Performance Measures for (D)(2)(d)(1): Increasing the number of Early Childhood Educators receiving credentials from postsecondary institutions and professional development providers with programs that are aligned to the Workforce Knowledge and Competency Framework					
	Baseline (Today)	Target - end of calendar year 2012	Target - end of calendar year 2013	Target - end of calendar year 2014	Target – end of calendar year 2015
Total number of “aligned” institutions and providers					
Total number of Early Childhood Educators credentialed by an “aligned” institution or provider					
<div>fill in all cells that are blank</div>					
<i>[Please indicate whether baseline data are actual or estimated and describe the methodology used to collect the data, including any error or data quality information; and please include any definitions you used that are not defined in the notice. If baseline data are not currently available please describe in your High-Quality Plan in your narrative how and when you will have baseline data available.]</i>					

Here, you fill in the actual or estimated baseline data in the first column and annual targets in the next four columns. Reviewers will look for “ambitious yet achievable” targets.  
States will report status against these targets in annual reports.

# Planning Considerations

For your immediate consideration:

- Determine Lead Agency and all Participating State Agencies so you can start to—
  - Decide on your core application planning team
  - Decide on TA attendees
  - Start developing MOUs
  - Start developing Participating State Agencies' budgets
- Determine other key groups/coalitions in the State who will be part of your core application planning team
- Develop a list of questions to bring to the TA workshop

And remember that you'll need to:

- Line up the required signatures before you submit your application
- Line up the certification from the State's Attorney General
- Complete a detailed budget

# Submitting an Application

- Submit a CD or DVD that includes:
  - A single file that contains the body of the application, including required budget tables, that has been converted into a .PDF
  - A single file in a .PDF format that contains all of the required signature pages
  - A single file that contains the completed electronic budget spreadsheets
- Submit a signed original of Section IV of the application and one copy of that signed original
- Indicate CFDA number 84.412 on the mailing envelope
- Have your application hand delivered or mailed (overnight mail recommended) – note different addresses for hand delivery and overnight mail delivery (see page 112 of the Application)
- Must be ***received*** (not postmarked!) by 4:30:00 p.m. (Washington, DC time) on October 19, 2011...or we cannot accept it!

# RTT-ELC Resources

**Website:** <http://www2.ed.gov/programs/racetothetop-earlylearningchallenge>

- *Notice Inviting Applications (NIA)*
- *Application*
- *Budget Spreadsheets*
- Supporting Materials:
  - *Executive Summary of RTT-ELC*
  - *Frequently Asked Questions*
  - *Presentations and Transcripts*

## **Technical Assistance:**

- TA Planning Workshop:  
September 13 (Washington DC and Video Conference)

**Email questions** to [rtt.early.learning.challenge@ed.gov](mailto:rtt.early.learning.challenge@ed.gov)